



INDIANA
WORKFORCE
DEVELOPMENT

TO: State Workforce Innovation Council Chairperson
Marion County Workforce Investment Board Chairperson & Director
Regional Workforce Board Chairpersons
Regional Operators
Directors of Operations for Northern and Southern Indiana

FROM: Teresa L. Voors *(initials)*
Commissioner, Indiana Department of Workforce Development

THROUGH: Dale Wengler *(initials)*
Deputy Commissioner, Policy & Field Operations

DATE: April 4, 2008

SUBJECT: DWD Policy 2007-25
Eligibility Determination and Data Validation Requirements for Integrated Adult Programs Provided by the WorkOne System

Purpose

This Policy is issued for the following purposes:

- a. To communicate significant changes to the eligibility requirements for the Wagner-Peyser, WIA Adult, WIA Dislocated Worker, Trade Adjustment Assistance and Veterans programs as a result of integration.
- b. To communicate significant changes to the Department's requirements regarding **Data Element Validation (DEV)** as a result of program integration.

Rescission

DWD Policy 2006-17, Change 1 – Eligibility Policy for Adult, Dislocated Worker and Youth Workforce Investment Act and Trade Adjustment Assistance Act Activities, dated February 2, 2007

NOTE: Rescission applies to eligibility policy for Adult programs only and does not rescind requirements for youth served under the Workforce Investment Act Youth program. It is anticipated that a new youth eligibility policy will be developed and published in the near future.

Contents

Effective July 1, 2008, Indiana policy requires the integration, co-enrollment and functional alignment of all adult programs provided through the WorkOne system.

This document is designed to streamline eligibility determination process, the collection and validation of participant information necessary to comply with federal reporting requirements and to functionally align these requirements across all of the adult programs (Wagner-Peyser, WIA, TAA and VETS).

Eligibility Determination

The following is a summary of eligibility criteria for each of the adult programs:

Program	Eligibility Requirements
Wagner-Peyser	All individuals are eligible
WIA Adult	<p>Age: 18 and over Registered for Selective Service Eligible to Work in the United States</p> <p>NOTE: US citizenship and/or right-to-work are not program eligibility requirements for Wagner-Peyser or WIA (USDOL/ETA, "Reflection" document, USDOL/ETA sponsored Common Measure Training, Philadelphia, PA, March 1, 2006). In addition, citizenship information does not need to be validated. Indiana has determined that an individual's right-to-work in the US should be verified prior to the receipt of workforce development services. The methods of verifying an individual's right-to-work in the US shall vary according to service level. (See Attachment B for specific requirements.)</p> <p>Self-Sufficiency Determination</p> <p>NOTE: Indiana has determined that funds are unlimited for intensive level services. Further, funds may become limited for training services. RWBs may establish a "priority of service policy to govern the provision of training services when funds become limited. If the RWB determines funds for the WIA Adult program are limited, then training services must be prioritized for recipients of public assistance and other low-income individuals. (See Attachment A for specific eligibility definitions.)</p>

WIA DW	All WIA Adult requirements AND eligible under one or more of the DW categories
Category 1 – Laid off/unlikely to return to previous occupation	Terminated or laid off Has received notice of termination/lay off Eligible for or has exhausted UI benefits Unlikely to return to previous industry or occupation
Category 2 – Plant Closure	Terminated or laid off as a result of a plant closure Has received notice of termination/lay off as a result of a plant closure Is employed at a facility where employer has made a general announcement that the facility will close within 180 days; or, for services other than intensive, supportive or training, is employed at a facility where employer has made a general announcement that the facility will close
Category 3 – Self Employed	Individual was self-employed (including employment as a farmer, rancher or fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters
Category 4 – Displaced Homemaker	Individual who has been providing unpaid services to family members in the home and who: (1) has been dependent on the income of another family member but is no longer supported by that income; and, (2) is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment
DW Due To Foreign Trade	Individual determined eligible for Trade Adjustment Assistance services
Trade Adjustment Assistance	Individual is TAA eligible if he/she has lost their job as a result of increased imports or shifts in production out of the United States. The US DOL will document an individual's eligibility through the certification of a TAA petition. NOTE: ALL TAA eligible individuals are eligible for WIA DW.

VETS	Individual self-identifies as a (1) Veteran or Other Eligible, or (2) Transitioning Service Member
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Specific eligibility related definitions and required actions are contained in Attachment B.

Data Collection & Validation

Specifically, USDOL/ETA's policy states that:

Documentation for eligibility and services elements is only required for participants who receive more than core services. Core services include self and informational services [and staff assisted core]. Participants who enroll in training or other intensive services must provide the required source documents for validation purposes. Documentation for outcome elements is required for all participants who receive more than self-assisted and informational activities. (TEN 9-06, Attachment A, page 1)

The collection and validation of information necessary to comply with federal reporting requirements is a shared responsibility across the W-P, WIA, TAA and VETS programs. This responsibility includes assuring:

- a. Information on a participant is reported accurately and timely in the TrackOne case management system; and
 - b. Proper documentation of the information is obtained and recorded in TrackOne as part of the participant's records.
1. Indiana's case management system, TrackOne, and other State Management Information Systems will be used to electronically collect and retain appropriate participant information, to free-up the resources previously required in obtaining and retaining paper source documentation.
 2. There are three types of participant information that must be collected and validated to comply with federal reporting requirements. Not all participant information is subject to DEV.
 - **Demographic information** – Used to determine program eligibility and to report on participant characteristics/special populations.
 - **Services Information** – Used to report on the services received by a participant. Services information is generally collected through proper data entry and documentation in TrackOne.
 - **Outcome Information** – Used to calculate performance measures and to report on outcomes achieved by participants.

Some outcome information may need to be obtained from the participant, such as supplemental employment information, and achievement of a degree or certificate.

Some outcome information is obtained from cross-match with other State databases, such as employment outcomes obtained from the State quarterly UI wage record system.

3. There are three levels of service that are relevant for eligibility and DEV purposes:

- **Core Services** – Self Service and Informational Activities, as well as Staff Assisted Core Services
- **Significant Staff Involved Services** – Intensive Services or Training Services
- **Staff Assisted Services** – Staff Assisted Core Services, Intensive Services and Training Services

4. The following is a list of sources for documenting participant information. The validity of each source depends upon the type of information and the level of service received by the participant.

- **Self-Identification** – The participant states (self-identifies) his/her status for the particular piece of information being collected (obtained).
- **Self-Attestation** – The participant states (self-identifies) his/her status for the particular piece of information being collected (obtained). This information is recorded on a form, and the participant signs and dates the form acknowledging their status. The key elements for self-attestation are: (a) the participant self-identifying his/her status for the information; and (b) the participant signing and dating the form attesting to this self-identification. The difference between self-identification and self-attestation is signing a self-attestation form.
- **Case Notes** – Statements recorded in the participant's case note folder by staff that identify a participant's status for a specific data element, and the date on which the information was obtained.
- **State Management Information Systems (MIS)** – **State Management Information Systems (MIS)** – In Indiana, the State MIS is TrackOne, provided the information being collected is properly recorded in the appropriate TrackOne data fields. Proper recording of information requires that the specific, detailed information (e.g., dates, types of services and explanations of barriers to employment) is stored in the State's case management system and provides supporting evidence for the data element.
- **Cross Match** – Accessing a non-WIA MIS to find supporting evidence for the data element. Such information may be obtained via data sharing arrangements with the non-WIA MIS.

In particular, information/data available in the Unemployment Insurance (UI) system and UI wage record system, and linkages to those systems will be used to comply with federal DEV requirements.

In addition, information on UI Claimants that is validated through the UI claims-taking process, and shared with TrackOne, is considered valid for the W-P, WIA, TAA and VETS programs. Note that, an Active UI Claimant can be identified in TrackOne when the UI status is recorded on the TrackOne Edit Participant screen.

- **Official Documents** – Information is obtained from official documents (e.g., birth certificate, driver's license, letterhead, pay stub).
- **Staff Verification** – Staff verification will be used to validate participant information across the various documentation sources.

Staff verification is intended to minimize the administrative burden associated with obtaining and retaining paper backup copies of the source documents used to validate participant information. Use of staff verification is intended to better align program resources with providing services, rather than documenting information.

Staff verification requires staff to:

- Identify the information to be collected (relevant data element) using an allowable documentation source.
- Assure the information is accurately recorded in the appropriate TrackOne data field(s).
- Select a documentation method from the drop-down menu in TrackOne; or,
- Record in the TrackOne case notes:
 - The information (data element) that has been validated;
 - The source used to validate the information;
 - Pertinent data from the document source; and
 - The date of the Staff Verification.

5. The level of participant data and source documentation needed to comply with federal reporting requirements, including eligibility determinations and DEV, will depend on the level of service received by the participant.

- **Upon receipt of a Core Service:**
 - **Demographic Information** must be obtained from the participant and recorded in TrackOne.
 - **Self-Identification** is acceptable source documentation for obtaining demographic information for participants who receive only core services.

- **Upon receipt of Intensive or Training Services** (i.e., more than core services):
 - **Certain Demographic Information** (e.g., date of birth and employment status at participation) must be validated against specific source documents beyond self-identification.
 - **Services Information** must be recorded in TrackOne. Proper data entry and documentation of services in TrackOne comply with DEV requirements.
 - **Upon receipt of a Staff Assisted Service**
 - **Outcome Information** must be recorded in TrackOne. Outcome information must be validated against specific source documents beyond self-identification.
- Validation of outcome information is required at the staff assisted service level because participants who receive a staff assisted service are included in performance measures for the WIA program.

6. In an effort to reduce the amount of administrative burden resulting from the maintenance of paper documentation, the Department strongly encourages staff to utilize the following:

- A. Staff verification
- B. Self-attestation
- C. State MIS (TrackOne records)
- D. Case notes

The preferred method of maintaining any required paper documentation shall be electronic. This documentation shall be scanned and attached to the participant's electronic record in TrackOne.

The Department also encourages Regions to utilize electronic signature pads and other electronic methods to capture and maintain participant self-attestation.

7. Attachments:

Attachment A provides State guidelines on the minimum demographic information for reporting on participants who receive self-service or informational activities only.

Attachment B provides "Indiana Adult Program Eligibility Requirements" which addresses eligibility requirements and criteria for determining a participant's eligibility to participate in the WIA (Adult and DW), TAA and VETS programs. Note that the W-P program does not have eligibility requirements.

Attachment C provides "Indiana Department of Workforce Development Data Element Validation (DEV) Handbook" which addresses the specific data elements that must be validated for participants (demographic, services and outcomes).

Questions regarding this Policy should be sent to:

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Ownership

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Effective Date

April 4, 2008

Action

This Policy rescinds and replaces DWD Policy 2006-17 Change 1. Therefore, Regions should refer to this policy as the eligibility and data validation guidance for Adult WIA Title 1B, Wagner-Peyser, VETS, and Trade Adjustment Assistance programs.

Attachment A

Demographic Information for Reporting on Participants Receiving Only Self-Service/Informational Activities

It is important to note that these individuals will be counted as both Wagner-Peyser and WIA participants, and included in Wagner-Peyser performance.

- First Name
- Last Name
- Date of Birth
- SSN
- Ethnicity
- Race
- Gender
- Person with Disability
- Employment Status
- Veteran Status

Attachment B

Indiana Adult Program Eligibility Requirements

Common Requirements for WorkOne Programs:

WIA Adult, WIA Dislocated Worker, Wagner Peyer, Trade Adjustment Assistance, and Veterans Programs

Eligibility Requirements – WIA Title 1B		
Eligibility Criteria	Program	Eligibility Requirements
Age	Adult	<p>Individuals must be 18 years of age or older to be eligible to participate in the WIA Adult program.</p> <p>Staff must identify the individual's age (i.e., Date of Birth).</p> <ul style="list-style-type: none">○ The individual's Date of Birth (DOB) must be recorded in the TrackOne DOB data field.○ Select the appropriate documentation source from the drop down menu. <p>Refer to Attachment C – DEV Requirements for guidance on how to document age.</p>
Eligible to Work in the United States	Adult	<p>US citizenship and/or right-to-work are not program eligibility requirements for Wagner-Peyer or WIA (USDOL/ETA, "Reflection" document, USDOL/ETA sponsored Common Measure Training, Philadelphia, PA, March 1, 2006). In addition, citizenship information does not need to be validated.</p> <p>Indiana has determined that an individual's right-to-work in the US should be verified prior to the receipt of workforce development services. The methods of verifying an individual's right-to-work in the US shall vary according to service level.</p>

Eligibility Requirements – WIA Title 1B			
Eligibility Criteria	Program	Eligibility Requirements	Action
Selective Service/Military Status	Adult and DW	<p>Only applies to males born after December 31, 1959.</p> <p>Section 189(h) of WIA requires individuals to be in compliance with Section 3 of the Military Selective Service Act (50 U.S.C. App 453), in order to participate in WIA Title 1-B funded programs. Section 3 of the Military Selective Service Act requires all males born after December 31, 1959 to be registered with the US Military Selective Service.</p> <p>USDOL/ETA's eligibility/DEV policy does not specify required source documentation for verifying Military Selective Service, therefore the following are acceptable sources:</p> <ul style="list-style-type: none"> • Self Identification • Selective Service Registration Card • Selective Service Status Information Letter • Selective Service Registration Record (Form 3A) • Selective Service Verification Form • Stamped Post Office Receipt of Registration • Registered on the US Selective Service System • https://www4.sss.gov/regver/verification1.asp TrackOne contains a link "register/look-up" (staff must enter the individual's name, DOB and SSN to look up an individual). 	<p>Staff must verify that a male participant born after December 31, 1959 is registered with the US Military Selective Service. Selective Service/Military Status is not a DEV requirement.</p> <p>If registered:</p> <ul style="list-style-type: none"> ○ Check the TrackOne SS box, and if available, record the Selective Service registration number (e.g., 67 - 0398583 – 1). ○ Select the appropriate documentation source from the drop down menu. <p>For males 18 -25 years of age who are not registered with the selective service:</p> <ul style="list-style-type: none"> • Staff must refer the individual to the Selective Service for registration. • WIA funded services can not be provided until the individual is registered. However, services funded by the W-P program may be provided. <p>For males 26 years of age or older, whose selective service registration status can not be verified:</p> <ul style="list-style-type: none"> • WIA funded services can be provided, as long as the individual discloses that it was not willful or deliberate avoidance of selective service registration. • The individual must sign a statement that he did not willfully or deliberately avoid registration. This statement shall be scanned in to TrackOne. • Staff must refer the individual to the Selective Service, and record a TrackOne case note noting the individual's statement; that the referral was made; and the date the referral was made.

Eligibility Requirements – WIA Title 1B

Eligibility Criteria	Program	Eligibility Requirements	Action
Dislocated Worker (DW)	DW	<p>At the time of the 1st staff assisted service. An individual is eligible to receive services as a WIA DW if they fall into any one of the following Categories:</p> <ul style="list-style-type: none"> ○ Category 1 DW – Laid Off: Unable to Return to Previous Occupation ○ Category 2 DW – Plant Closure ○ Category 3 DW – Self Employed ○ Category 4 DW – Displaced Homemaker ○ Foreign Trade DW – Dislocated due to Foreign Trade 	<p>Staff must make a determination as to whether or not a participant is eligible for the WIA DW program.</p> <p>Assess the individual's work history to determine if they fall into a DW eligibility category.</p> <p>Obtain information about the participant's work history (i.e., dislocation job/situation).</p> <p>Complete the dislocated worker section of the TrackOne application screens, record the individual's employment history on the Work History screens, or in TrackOne case notes if the individual has self-employment or employment in the home.</p>

Eligibility Requirements – WIA Title 1B			
Eligibility Criteria	Program	Eligibility Requirements	Action
Dislocated Worker (DW) – Continued	DW	<p>Category 1 DW – Laid Off: Unlikely to Return to Previous Occupation</p> <p>To be eligible as a WIA DW under this Category, the participant must meet <u>all three</u> criteria below:</p> <ol style="list-style-type: none"> 1. The individual has been terminated or laid off, or has received a notice of termination or layoff from employment; 2. The individual is eligible for, or has exhausted entitlement to, unemployment compensation; or has been employed for a duration sufficient to demonstrate attachment to the workforce, but is not eligible for unemployment compensation due to insufficient earnings or having performed services for an employer that were not covered under a State unemployment compensation law; and 3. The individual is unlikely to return to a previous industry or occupation. 	<p>Active UI Claimant Profiled as Likely to Exhaust Benefits or UI Exhaustee is considered to meet <u>all three</u> criteria and can be designated as a Category 1 DW.</p> <p>Active UI Claimant is considered to meet criteria 1 & 2. Therefore, staff must verify the participant is unlikely to return to their previous occupation (Criteria 3).</p> <p>If the participant receives only staff assisted core services, then self attestation is an acceptable source. However, staff can also determine "unlikely to return to their previous occupation" through job search activities, which result in no jobs within 1-hour travel by personal transportation or 1½ hours by public transportation.</p> <ul style="list-style-type: none"> ○ Record/select DW on the TrackOne application screens. ○ Record the "qualifying date of the dislocation". ○ Select the appropriate documentation source from the drop down menu. <p>If the participant receives intensive or training services (i.e., more than core services), then refer to Attachment C – DEV Requirements for guidance on how to document DW eligibility.</p> <p>Non-UI Claimants – Staff must verify that the participant meets <u>all three</u> Category 1 DW criteria.</p> <p>If the participant receives only informational, self-service or staff assisted core services, then self attestation is an acceptable source.</p> <ul style="list-style-type: none"> ○ Record/select DW on the TrackOne application screens. ○ Record the "qualifying date of the dislocation". ○ Select the appropriate documentation source from the drop down menu. <p>If the participant receives intensive or training services (i.e., more than core services), then refer to Attachment C – DEV Requirements for guidance on how to document DW eligibility.</p>

Eligibility Requirements – WIA Title 1B

Eligibility Criteria	Program	Eligibility Requirements	Action
Dislocated Worker (DW) – Continued	DW	<p>Category 2 DW – Plant Closure To be eligible as a WIA DW under this Category, the participant must meet <u>any one</u> of the three of the criteria below:</p> <ol style="list-style-type: none"> 1. Individual has been terminated or laid off, or has received a notice of termination or layoff, from employment as a result of any permanent closure of, or any substantial layoff at, a plant, facility, or enterprise; 2. The individual is employed at a facility at which the employer has made a general announcement that such facility will close within 180 days; or 3. For purposes of eligibility to receive services other than training services described in section 134(d)(4), intensive services described in section 134(d)(3), or supportive services, is employed at a facility at which the employer has made a general announcement that such facility will close. 	<p>Staff must verify how the participant meets the Category 2 DW criteria. If the participant receives only informational, self-service or staff assisted core services, then self attestation is an acceptable source.</p> <ul style="list-style-type: none"> ○ Record/select DW on the TrackOne application screens. ○ Record the "qualifying date of the dislocation". ○ Select the appropriate documentation source from the drop down menu. <p>If the participant receives intensive or training services (i.e., more than core services), then refer to Attachment C – DEV Requirements for guidance on how to document DW eligibility.</p>
		<p>Category 3 DW – Self Employed The individual was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community in which the individual resides or because of natural disasters.</p>	<p>Staff must verify how the participant meets the Category 3 DW criteria. If the participant receives only informational, self-service or staff assisted core services, then self attestation is an acceptable source.</p> <ul style="list-style-type: none"> ○ Record/select DW on the TrackOne application screens. ○ Record the "qualifying date of the dislocation". ○ Select the appropriate documentation source from the drop down menu. <p>If the participant receives intensive or training services (i.e., more than core services), then refer to Attachment C – DEV Requirements for guidance on how to document DW eligibility.</p>

Eligibility Requirements – WIA Title 1B

Eligibility Criteria	Program	Eligibility Requirements	Action
Dislocated Worker (DW) – Continued	DW	<p>Category 4 DW – Displaced Homemaker</p> <p>The term "displaced homemaker" means an individual who has been providing unpaid services to family members in the home, and who:</p> <ol style="list-style-type: none"> 1. Has been dependent on the income of another family member but is no longer supported by that income; and 2. Is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment. 	<p>Staff must verify how the participant meets the Category 4 DW criteria. If the participant receives only informational, self-service or staff assisted core services, then self attestation is an acceptable source.</p> <ul style="list-style-type: none"> ○ Record/select DW on the TrackOne application screens. ○ Record the "qualifying date of the dislocation". ○ Select the appropriate documentation source from the drop down menu. ○ If the participant receives intensive or training services (i.e., more than core services), then refer to Attachment C – DEV Requirements for guidance on how to document DW eligibility.
		<p>Foreign Trade DW – Dislocated due to Foreign Trade</p> <p>An individual determined eligible for Trade Act services is also eligible as a WIA DW.</p>	<p>Indiana policy requires these participants to be co-enrolled in WIA DW and TAA.</p> <ul style="list-style-type: none"> ○ Record/select DW on the TrackOne application screens. ○ Record the "qualifying date of the dislocation". ○ Record/select TAA on the TrackOne application screens. Record the petition number and relevant TAA information, if known. ○ Select the appropriate documentation source from the drop down menu. <p><i>See the TAA Eligibility Section below for more detailed discussion</i></p>
Self-Sufficiency	Adult and DW	<p>Employed participants only, at the time of the 1st intensive service.</p> <p>WIA requires a determination of self-sufficiency as a condition for providing intensive and/or training services to employed adult or dislocated workers, as an eligibility requirement.</p> <p>Indiana has determined that employment is not a guarantee of self-sufficiency. Therefore, all Hoosiers seeking assistance through the WorkOne system, employed or not, are considered to lack self-sufficiency.</p> <p>[Reference: Title 20 CFR Section 663.230]</p>	<p>Individuals seeking services through the WorkOne system and entered in to TrackOne shall be sufficient verification.</p>

Eligibility Requirements – WIA Title 1B

Eligibility Criteria	Program	Eligibility Requirements	Action
<p>Low Income Indiana has determined that funds are unlimited for intensive level services.</p> <p>Further, funds may become limited for training services. RWBs may establish a “priority of service” policy to govern the provision of training services when funds become limited.</p>	<p>Adult</p>	<p>At the time of the 1st training service. “Low Income Individual” Definition An individual who—</p> <p>(A) receives, or is a member of a family that receives, cash payments under a Federal, State, or local income-based public assistance program;</p> <p>(B) received an income, or is a member of a family that received a total family income, for the 6-month period prior to application for the program involved (exclusive of UI compensation, child support payments, payments described in subparagraph (a), and old-age and survivors insurance benefits received under section 202 of the SS Act that, in relation to family size, does not exceed the higher of—</p> <p>(i) the poverty line, for an equivalent period; or</p> <p>(ii) 70 percent of the lower living standard income level, for an equivalent period;</p> <p>(C) Is a member of a household that receives (or has been determined within the 6-month period prior to application for the program involved to be eligible to receive) food stamps pursuant to the Food Stamp Act of 1977;</p> <p>(D) Qualifies as a homeless individual, as defined in subsections (a) and (c) of section 103 of the Stewart B. McKinney Homeless Assistance Act;</p> <p>(E) Is a foster child on behalf of who State or local government payments are made; or</p> <p>(F) In cases permitted by regulations promulgated by the Secretary of Labor, is an individual with a disability whose own income meets the requirements of a program described in subparagraph (A) or (B), but who is a member of a family whose income does not meet such requirements.</p>	<p>Staff must verify the individual's low income status at the point of the first training service.</p> <p>Low income status falls under DEV.</p> <ul style="list-style-type: none"> ○ Record/select low income on the TrackOne application screens. ○ Select the appropriate documentation source from the drop down menu. <p>Refer to Attachment C – DEV Requirements for guidance on how to document low income status.</p>

Eligibility Requirements – Trade Adjustment Assistance (TAA) Program

Eligibility Criteria	Program	Eligibility Requirements	Action
Trade Act Eligibility Requirements	TAA	<p>Individuals are Trade eligible if they have lost their job as a result of increased imports or shifts in production out of the United States. Certified individuals may be eligible to receive one or more program benefits and services depending on what is needed to return them to employment.</p> <p>An individual is determined Trade Act eligible by another state. This can be verified by contacting the state's TAA coordinator, which can be located through http://www.doleia.gov/tradeact/contacts.cfm; or by the customer providing the certification documentation from the state.</p>	<p>In Indiana, all customers who are eligible for the Trade Act program are eligible for the WIA DW program and, in accordance with Indiana policy, are required to be co-enrolled in the TAA program, WIA DW program, WIA Adult program and Wagner-Peyser program. NOTE: Not all WIA DW are eligible for the TAA program.</p> <p>Verifiable Documentation:</p> <ol style="list-style-type: none"> 1. Individual is named on the list of workers covered under the TAA petition 2. TAA eligibility form issued by other States. <p>If verified:</p> <ul style="list-style-type: none"> o Complete the TrackOne application screens (which would include the certified petition number). o Record/select DW, TAA, Adult and Wagner-Peyser on the enrollment/registration screen in TrackOne. o Record the separation date in TrackOne. o Select the appropriate documentation source from the drop down menu.

Eligibility Requirements – Veterans' Employment and Training Services (VETS) Program			
Eligibility Criteria	Program	Eligibility Requirements	Action
Veteran, Other Eligible or Transitioning Service Member	VETS	<p>Eligibility for the VETS program is self-identification as a:</p> <ol style="list-style-type: none"> 1. Veteran or Other Eligible, or 2. Transitioning Service Member <p>Veteran or Other Eligible is a person who:</p> <ol style="list-style-type: none"> a. Served on active duty for a period of more than 180 days and was discharged or released there from with other than a dishonorable discharge; or b. Discharged or released from active duty because of a service-connected disability, injury or illness (does not have to meet the 180 day rule); or c. Served as a member of a reserve component under an order to active duty, served on active duty for any length of time during a period of war or in a campaign or expedition for which a campaign badge is authorized and was discharged or released from such duty with an other than dishonorable discharge; or d. Any other "Eligible Person" – the spouse of: (a) any person who died of a service-connected disability; (b) any member of the Armed Forces serving on active duty who, at the time of application, is listed by the Secretary concerned in one or more of the categories and has been so listed for a total of more than 90 days: (i) Missing in action; (ii) captured in line of duty by a hostile force; or, (iii) forcibly detained or interned in line of duty by a foreign government or power; or (c) any person who has a total disability permanent in nature resulting from a service-connected disability or who died while a disability so evaluated was in existence. <p>Transitioning Service Member – A participant who is a service member in active duty status (including separation leave), who participates in employment services and is within 24 months of retirement or 12 months of separation.</p>	<p>Question individuals regarding military status during the Welcome process. For informational, self-service and staff assisted care services, participants may self attest to their status as a Veteran, Other Eligible or Transitioning Service member. Staff must:</p> <ul style="list-style-type: none"> o Record Veteran's status in TrackOne. <p>For participants receiving intensive and training level services, staff must:</p> <ol style="list-style-type: none"> 1. Record Veteran's status in TrackOne. 2. Record military history information in TrackOne. 3. Record transition information, if applicable. 4. Record campaign participation in TrackOne. 5. Record information on disability status in TrackOne. 6. Select the appropriate documentation source for each item from the drop down menu.

Attachment C

**Indiana Department of Workforce Development
Data Element Validation (DEV) Requirements Handbook
Common Requirements for WorkOne Programs:
*WIA Adult, WIA Dislocated Worker, Wagner Peyster, Trade Adjustment Assistance, and Veterans Programs***

NOTE: Whenever possible, scanned/electronic records and case notes shall be the preferred method of maintaining data source documentation.

DEV Requirements – Demographic Information Data Elements			
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources	
Date of Birth (DOB) <i>(Edit Participant Screen)</i>	Staff Verification of DOB is required using an acceptable source document. Staff must: 1. Record the DOB, and 2. Select the appropriate documentation source from the drop down menu.	Scanned or paper copies of any of the following: 1. Copy of ID Match 2. Baptismal Record 3. Birth Certificate 4. DD-214, Report of Transfer or Discharge Paper 5. Driver's License 6. Federal, State, or Local Government Identification Card 7. Hospital Record of birth 8. Passport 9. Public Assistance/Social Service Records 10. School Records/Identification card 11. Work Permit 12. Cross-match with Department of Vital Statistics 13. Tribal records	

DEV Requirements – Demographic Information Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Eligible to Work in the United States <i>(Edit Participant Screen)</i>	<p>Staff verification of right-to-work status is required when occupational training services are provided using an acceptable source document.</p> <p>Staff must select the appropriate citizenship category from the drop down menu in TrackOne.</p>	<p>Scanned or paper copies of any of the following:</p> <ol style="list-style-type: none"> 1. Birth certificate; 2. Alien Registration Card 3. US Passport 4. Same documents as accepted by US Immigration/Naturalization to complete the I-9 form 5. Public assistance records 6. DD-214 (if place of birth is shown) 7. Food Stamp records 8. Foreign passport stamped "Eligible to Work" 9. Hospital record of birth 10. Native American tribal document 11. Naturalization Certification 12. Baptismal Record with place of birth 13. Department of Corrections record which indicates citizenship.

DEV Requirements – Demographic Information Data Elements			
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources	
Employment Status at Participation <i>(Edit Participant Screen)</i>	<p>Employment status determines if a participant is to be counted in the Entered Employment Rate performance measure. In addition, WIA has additional eligibility requirements for providing training services to Adult participants who are employed at enrollment (i.e., when an RWB has a Priority of Service Policy in effect, the earnings of an individual who is employed at participation must meet the low income standard established by the RWB).</p> <p>Employment Status at Participation can be one of three options:</p> <ul style="list-style-type: none"> • Not Employed • Employed • Employed, but received notice of termination or transitioning service member <p><u>For Active UI Claimants</u></p> <p>The TrackOne "Employment Status" field is set equal to "Not Employed" when the TrackOne record is added and/or updated at the time the UI application is filed. Staff must ensure the "Employment Status" field aligns with the UI Claimant Status field.</p> <p><u>For All Others</u></p> <p>Record the "Employment Status" in the TrackOne field.</p> <p>If employed, complete the TrackOne Work History screens. In addition, if the individual received a notice of termination, or is a transitioning service member (TSM), displaced homemaker, or is self employed, select the appropriate DW category on the application screens.</p>	<p><u>For Active UI Claimants:</u></p> <p>The "Employment Status" field in TrackOne for active UI Claimants is considered valid.</p> <p><u>For All Others:</u></p> <ol style="list-style-type: none"> 1. Scanned or paper copy of pay stub, or 2. TrackOne Work History, which is based upon prior/current employment/unemployment information obtained from the participant. The work history should specify occupation, employer, dates of employment, hours worked, wages and reason for unemployment (if applicable), or 3. TrackOne case notes. 	

DEV Requirements – Demographic Information Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Veteran Status <i>(Application Screens)</i>	<p>For participants who self-identify as a veteran, staff must record Veteran's Status on the Edit Participant screen at initial enrollment. Self-attestation and TrackOne case notes suffice as source documentation for those participants receiving informational, self-service and staff assisted core services.</p> <p>For participants who self-identify as a veteran and receive intensive/training services, staff must complete the veteran's information sections of the TrackOne application. For these participants, data verification source documentation is required.</p>	<ol style="list-style-type: none"> 1. Scanned or paper copy of DD-214 2. Cross match with veterans data
Date of Actual Qualifying Dislocation <i>(i.e., Last day of employment) (Work History Screens)</i>	<p>Only Validate for Dislocated Worker participants.</p> <p><u>For Active UI Claimants or Exhaustee</u> The dislocation date should be set equal to the "end date" reported in the Work History record.</p> <p><u>For All Others</u> Staff verification of "Qualifying Dislocation Date" is required using an acceptable source document. Staff must record the "Job End Date" in the Work History record.</p>	<p><u>For Active UI Claimants or Exhaustee:</u> The "Job End Date" field in TrackOne for Active UI Claimants is considered valid.</p> <p><u>For All Others (scanned or paper copy):</u></p> <ol style="list-style-type: none"> 1. Self Attestation 2. Verification from Employer 3. Rapid Response List 4. Notice of Layoff 5. Certified TAA petition 6. Public Announcement (WARN Notice, etc.) of dislocation. 7. Statement from the employer or union representative.

DEV Requirements – Demographic Information Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Displaced Homemaker <i>(Application Screens)</i>	Only Validate for Dislocated Worker participants Staff Verification of "Displaced Homemaker" status is required using an acceptable source document. When verified, staff must select "Displaced Homemaker" on the TrackOne application screen.	<p>Scanned or paper file copy of any of the following:</p> <ol style="list-style-type: none"> 1. Self Attestation 2. Public Assistance Records 3. Divorce Papers 4. Court Records 5. Bank Records 6. Spouses Layoff Notice 7. Spouses Death Record

DEV Requirements – Demographic Information Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Low Income <i>(Application Screens)</i>	<p>DEV required only when occupational training services are provided:</p> <ul style="list-style-type: none"> • If RWB has established WIA Priority of Service policy, and • For Adult participants (not required for DW participants) <p>If the RWB determines training funds for the adult program are limited, then the RWB must establish a local "Priority of Service" policy for training services to recipients of public assistance and other low-income adults.</p> <p>Staff person, upon completing low-income verification, must complete the Family Income screen in TrackOne. The system will automatically determine low income status based upon the Federal Poverty Guidelines.</p>	<p>Scanned or paper file copy of any of the following:</p> <ol style="list-style-type: none"> 1. Applicant Statement 2. Alimony Agreement 3. Award Letter from Veteran's Administration 4. Bank and/or Pension Statement 5. Compensation Award Letter 6. Court Award Letter 7. Employer Statement/Contact 8. Family or Business Financial Records 9. Housing Authority Verification 10. Pay stubs 11. Social Security Benefits 12. Public Assistance Records 13. Quarterly Estimated Tax for Self-Employed Persons 14. UI Documents and/or Printout

DEV Requirements – Demographic Information Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Temporary Assistance to Needy Families (TANF) <i>(Application Screens)</i>	<p>DEV required only when occupational training services are provided:</p> <ul style="list-style-type: none"> • If RWB has established WIA Priority of Service policy; and • For Adult participants (not required for DW participants) <p>If the RWB determines training funds for the adult program are limited, then the RWB must establish a local "Priority of Service" policy for training services to recipients of public assistance and other low-income adults.</p> <p>Upon Staff Verification that the participant is a TANF recipient: Designate participation in the appropriate public assistance program(s) in TrackOne by checking the appropriate box.</p>	<ol style="list-style-type: none"> 1. Cross-Match with TANF 2. Scanned or paper file copy of Public Assistance Records
Other Public Assistance Recipient <i>(Application Screens)</i>	<p>DEV required only when occupational training services are provided:</p> <ul style="list-style-type: none"> • If RWB has established WIA Priority of Service policy; and • For Adult participants (not required for DW participants) <p>If the RWB determines training funds for the adult program are limited, then the RWB must establish a local "Priority of Service" policy for training services to recipients of public assistance and other low-income adults.</p> <p>Upon Staff verification that the participant is an Other Public Assistance program recipient: Designate participation in the appropriate public assistance program(s) in TrackOne by checking the appropriate box.</p>	<p>Scanned or paper file copy of any of the following:</p> <ol style="list-style-type: none"> 1. Copy of Authorization to Receive Cash Public Assistance 2. Copy of Public Assistance Check 3. Medical Card Showing Cash Grant Status 4. Public Assistance Records/Printout 5. Refugee Assistance Records 6. Cross-match with public assistance database

DEV Requirements – Service Data Elements

Data Element (Data Field Location in TrackOne)	Validation Method and TrackOne Documentation Required (Service/Activity Screen)	Allowable Data Verification Sources
Participation Date* <i>*formerly referred to as Registration Date – prior to Common Measures</i>	The program Participation Date is automatically recorded on the TrackOne Enrollment record at the time that the first funded service is recorded. Staff must ensure that the actual start date of the service is accurately recorded in TrackOne to reflect the actual date the service was provided. Recording the service and the actual start date of the service on the Service screen in TrackOne is all that is needed for DEV. No further documentation outside of TrackOne is required.	TrackOne
Date of First Staff Assisted Service <i>(Service/Activity)</i>	Staff must ensure that the actual start date of the first staff assisted service is accurately recorded in TrackOne to reflect the actual date the service was provided. Recording the service and the actual start date of the service in the service record in TrackOne is all that is needed for DEV.	TrackOne
Date of First Intensive Service <i>(Service/Activity)</i>	Staff must ensure that the actual start date of the first intensive service is accurately recorded in TrackOne to reflect the actual date the service was provided. TrackOne recognizes an intensive service based on the program service type associated with the particular service recorded. Recording the service and the actual start date of the service in the service record in TrackOne is all that is needed for DEV.	TrackOne
Date Entered Training <i>(Service/Activity Screens)</i>	Staff must ensure that the actual start date of the first training service is accurately recorded in TrackOne. TrackOne recognizes a training service based on the program service type associated with the particular service recorded. Any training service entry in TrackOne must record the name of the Service Provider and the specific type of training to be provided as well as the actual start and end dates of the training.	TrackOne

DEV Requirements – Service Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Date Completed or Withdrew from Training (Service/Activity Screen)	Staff must ensure that the actual training completion date is accurately recorded in TrackOne.	TrackOne Case Notes
Type of Training (Service/Activity Screen)	Staff must ensure that the type of training is accurately recorded in TrackOne.	TrackOne Case Notes
Date of Exit (Exit Information Screen)	The date of the last planned service. Staff must accurately record in TrackOne all services received and the end date(s) associated with all services. If when the individual's TrackOne record indicates that no service funded by any program (W-P, WIA, TAA, VETS) was recorded for a period of greater than 90 days and there is no hold on services recorded, TrackOne will automatically exit the individual from the WIA program (and any other common enrollment program) recording the date of last service received as the common exit date of all programs.	TrackOne automatically captures/records the Exit Date on the individual's record.
Other Reasons for Exit (Exit Information Screen)	The code is entered when a participant is not expected to return in 90 days or less. Staff must record in TrackOne the Other Reason for Exit when participant is not expected to return to the program in 90 days or less.	TrackOne automatically captures/records the Reason for Exit on the individual's record.
Most Recent Qualifying Separation (Work History Screens)	Only Validate for TAA participants.	Scanned or paper file copy of any of the following: 1. Lay-off or rapid response list 2. Determination of eligibility 3. Notice of termination 4. Letter from employer.

DEV Requirements – Service Data Elements		
Data Element <i>(Data Field Location in TrackOne)</i>	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Trade Readjustment Allowance <i>(Service/Activity Screen)</i>	Only validate for TAA participants. Staff must enter a TRA service record in TrackOne	TrackOne
Date of Application <i>(Application Screen)</i>	Only validate for TAA participants No local action required. TrackOne automatically records the date of application.	TrackOne
Petition Number <i>(Registration Screen)</i>	Only Validate for TAA participants. Record the petition number of the certification, which applies to the individual's worker group. If there is more than one petition number (for example, certifications under both the TAA and NAFTA-TAA programs), record the petition number of the program from which the training is paid.	TrackOne
Waiver from Training requirement <i>(Registration Screen)</i>	Only Validate for TAA participants If an individual has received a TAA Waiver from Training, staff must verify and record this information in OSOS as a service.	TrackOne

DEV Requirements – Outcome Data Elements

Data Element	Validation Method and TrackOne Documentation Required	Allowable Data Verification Sources
Wages in 1st, 2nd and 3rd Quarters after Exit <i>(Follow-Up Contacts)</i>	No local action required. TrackOne automatically captures/records information from the quarterly UI Wage Record System (WRS) and the Wage Record Interchange System (WRIS), and validation is conducted administratively by DWD.	<p>1. UI Quarterly Wage Record System 2. WRIS</p>
Employed in 1st, 2nd and 3rd Quarters after exit <i>(Follow-Up Contacts)</i>	Local action required when supplemental data is the only source for a positive employment outcome. For participants whose employment outcomes are only reported from supplemental data – Staff must record in TrackOne that the participant achieved an employment outcome. For participants reported on WRS and WRIS – TrackOne automatically captures/records the required information, and validation is conducted administratively by DWD.	<p>Scanned or paper file copy of any of the following:</p> <ol style="list-style-type: none"> 1. Case files, based on follow-up services. 2. Surveys / correspondence with the participant's employer. 3. Record sharing and/or automated record matching with other employment and administrative databases; or, <p>Case Notes – Data recorded in the Follow-Up Contacts Screens shall serve as case notes for data validation documentation purposes.</p>
Type of Employment Match for 1st, 2nd and 3rd Quarters after Exit. <i>(Follow-Up Contacts)</i>	When supplemental data is the only source for a positive employment outcome. Staff must record in TrackOne that the participant achieved an employment outcome.	<p>Scanned or paper file copy of any of the following:</p> <ol style="list-style-type: none"> 1. Case files, based on follow-up services. 2. Surveys / correspondence with the participant's employer. 3. Record sharing and/or automated record matching with other employment and administrative databases; or, <p>Case Notes – Data recorded in the Follow-Up Contacts Screens shall serve as case notes for data validation documentation purposes.</p>